



# Advanced Electronic Records Institute

## Decision Making for Action: Policy Development and Implementation

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# Decision Making for Action

- Verb form of policy development
- Transparency necessary for TRAC requires:
  - Make decisions
  - Capture decisions
  - Apply decisions
  - Document outcomes
  - Maintain and fill gaps ...

# Role of Policies and Documentation

- Builds DP Team – three legs
- Defines institutional commitment
- Demonstrates compliance – requirements
- Manages expectations – stakeholders
- Defines issues and challenges
- Raises awareness – timing
- Identifies roles and responsibilities

# Policy Continuum



# Policies and Procedures

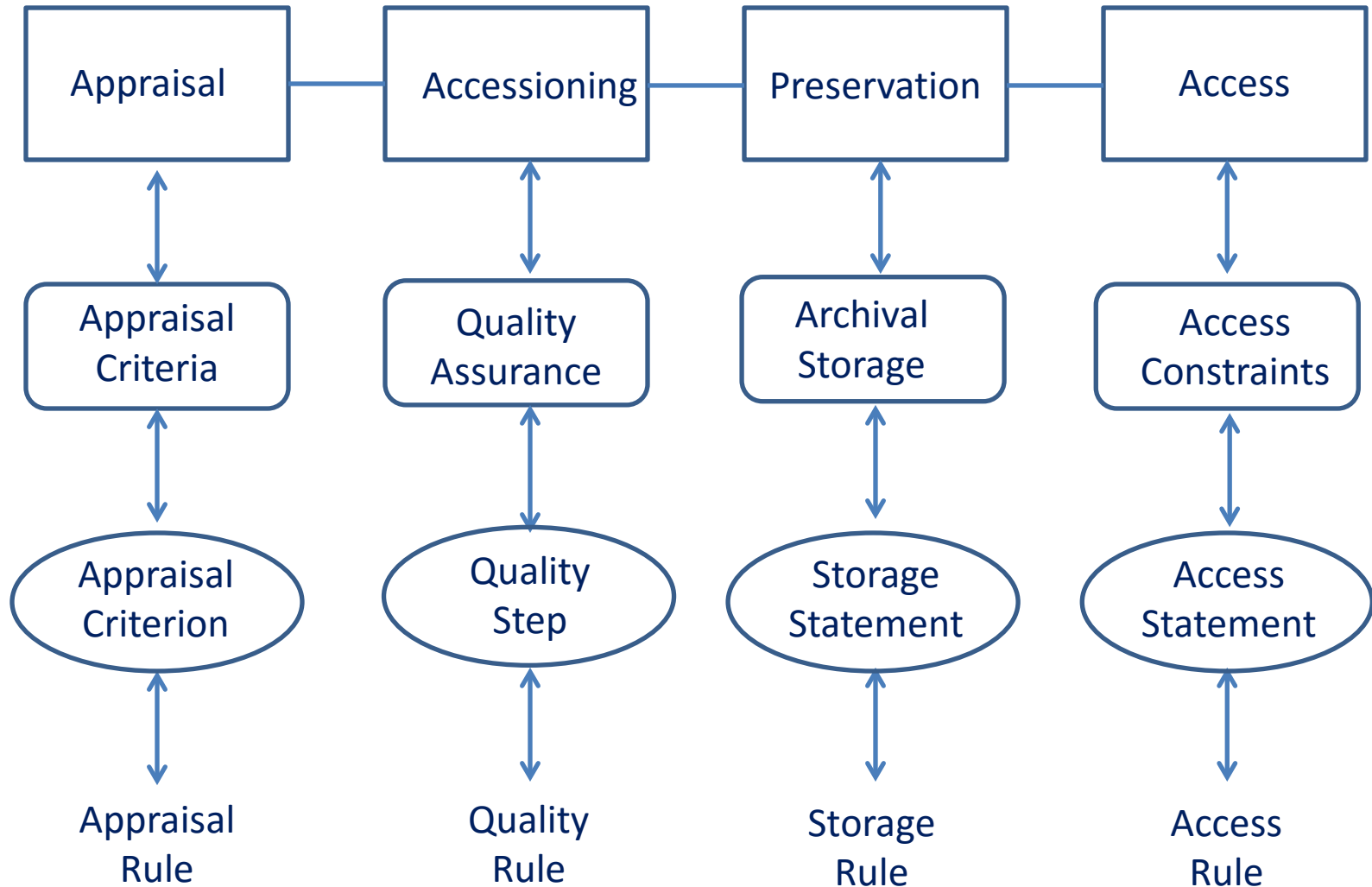
Higher-level examples:

- Appraisal
- Accessioning
- Digital Preservation
- Access

Lower-level examples:

- Roles and Responsibilities
- Appraisal criteria
- Quality Assurance
- Archival Storage

# Example: Levels of Policies and Decisions



# Digital Preservation Framework

- Version 1: DPM 2003-2006 (components)
- Version 2: DPM 2007-2011 (aligned with TDR)
- Version 3: DPM 2012-on (add curation)

# Components of Framework

- Digital Curation Overview
- OAIS compliance
- Administrative responsibility
  - Purpose
  - Mandate
  - Objectives
- Organizational viability
  - Operating principles
  - Roles and responsibilities
  - Selection and Acquisition
  - Scope
  - Access and Use
  - Challenges



# Components of Framework

- Financial sustainability
  - Institutional commitment
  - Cooperation and collaboration
- Technological and procedural suitability
- Systems security
- Procedural accountability
  - Audit and transparency
  - Policy framework administration
  - Definitions
  - References

# OAIS & Policies

- Submission Agreement
- Physical Access Control
- Administer Database
- Storage Management
- Disaster Recovery
- System Evolution
- Migration Standards
- SIP Design
- Format Standards
- Documentation Standards

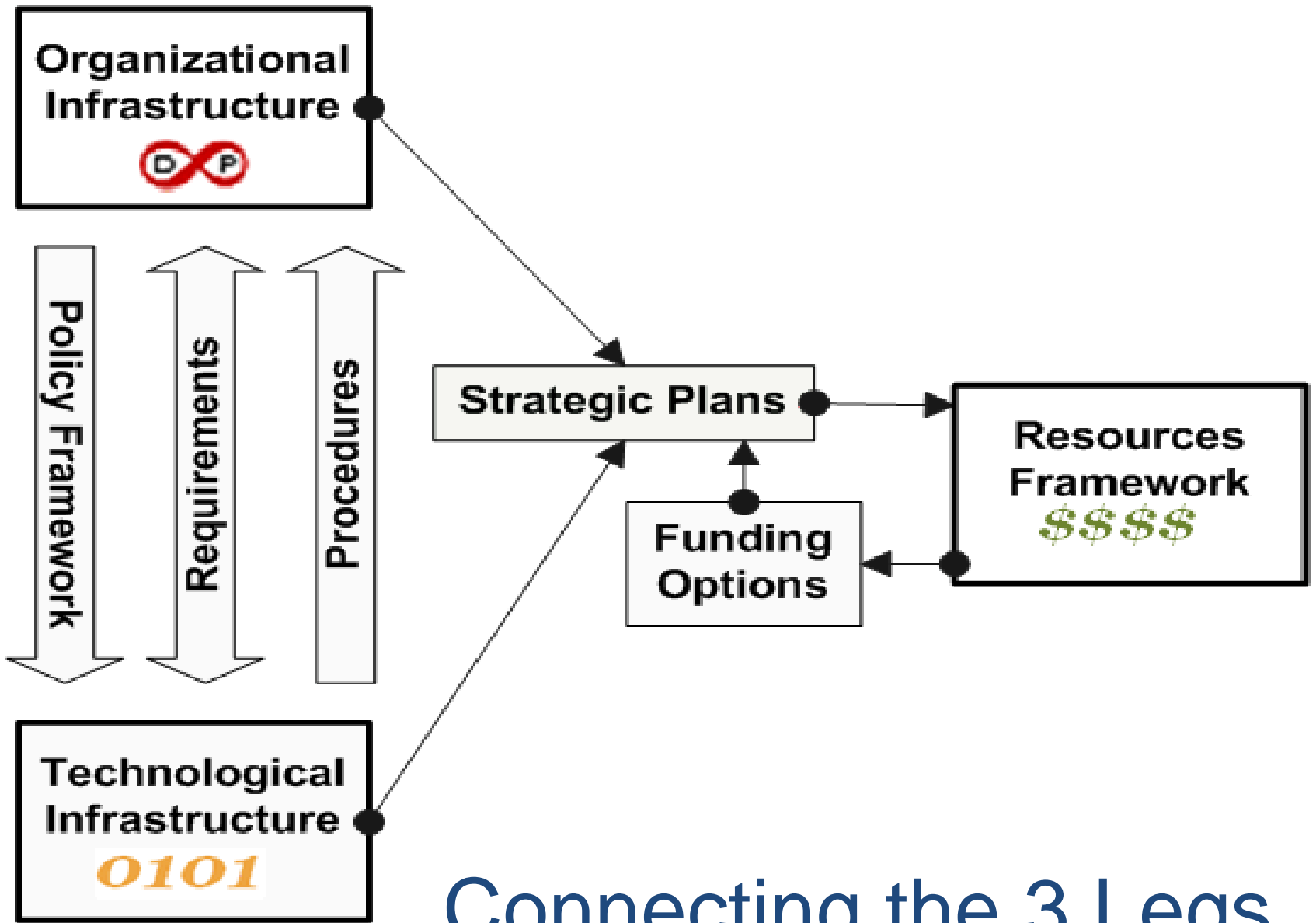
# Repository Documentation

OAIS examples:

- Policies, e.g., access, disaster planning
- Preservation process history
- Tracking transactions (simple to complex)
- Security Information, e.g., authentication
- Statistical information, e.g., performance
- Customer profiles
- Event-based orders
- Accounting

# Documentation Development

- Identify the audience for the documentation
- Determine the level of the document
- Consider who needs to *participate* – and who needs to *know* about it – and when
- Start with a straw document then iterative drafts
- Establish a plan that includes being done – remember the power of typos
- Best test for documentation = using it
- Allow time to maintain and update



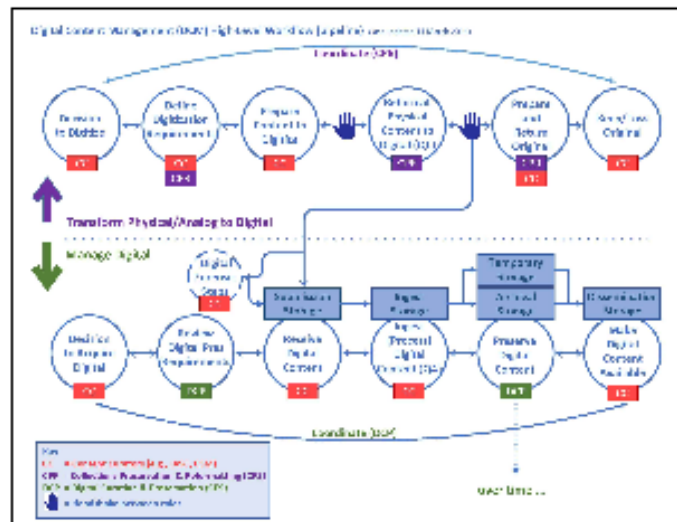
# Connecting the 3 Legs

# MIT Digital Content Workflow - Definition and Documentation

4 Added by [Nancy Y McGovern](#), last edited by [Nancy Y McGovern](#) on Mar 29, 2014 19:58 ([view change](#))

This page consolidates efforts to define and enhance workflows for the whole of the life cycle to manage digital content effectively

Background: Here is the current [version](#) of the high-level digital content management workflow diagram and here is the initial draft documentation of the Digital Content Management workflow at MIT Libraries is adapting the data processing pipeline document; is the pilot for the DCM workflow. The resulting DCM workflow definition and documentation is intended to apply to any digital content each workflow stage will include procedural and other exceptions that may be required for specific types of content or in specific managed and curated by IASC and for digital content in the general and special collections as managed and curated by CSM. A stage.



These are the acronyms on the diagram referred to in the list of steps below:

- CC = Content Curators (CSM, IASC, AKDC,...)
- CPR = Collections Preservation and Reformatting unit in CPS
- DCP = Digital Curation and Preservation unit in CPS

**Transform Physical/Analog to Digital stages:**

**A1. Decision to Digitize - lead: content curators (CC)**